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Title: Security Clearance Processing

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This procedure implements requirements regarding the requesting and processing of access authorizations (security clearances) within the Y-12 National Security Complex.

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BWXT Y-12
Management Control

Subject: Security Clearance Processing

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This document has been reviewed by an
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contains no UCNI. This review does not
constitute clearance for public release.

Ken Grissom 3/13/03
Signature & Date

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REVISION LOG
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Revision Date	Description of Change	Pages Affected
01/29/2003	DMR 02-SSO-028 Intent modification to incorporate the process for dealing with access authorization suspensions.	Sect. E. Pages 16-17
08/20/2002	DMR 02-SSO-006 Intent modification to incorporate additional requirements in DOE O 472.1B and document a required form change.	All
01/18/2001	DM/R 99-PSO-381 Intent modification to revise Y19-138 to comply with DOE O 472.1B. Reformat procedure to comply with Y15-235 and to incorporate changes from BWXT Y-12 Blue Sheet.	All
11/01/2000	BWXT Y-12, L.L.C. Blue Sheet to adopt procedure for use with noted changes. Procedure number changed from PS-138 to Y19-138.	All
05/23/1996	PS-138, <i>Security Clearance Processing</i> , Revision 0 Initial issuance.	All

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PURPOSE

This procedure implements requirements regarding the requesting and processing of access authorizations (security clearances) within the Y-12 National Security Complex. This procedure also identifies and assigns necessary organizational responsibilities which are intended to provide the Y-12 National Security Complex with a consistent and reliable process for requesting and processing access authorizations.

Prime contractors are responsible for reviewing, approving, and submitting to Department of Energy (DOE) access authorization requests for subcontractor, consultant, or agent applicants and employees. Requests should be kept to a minimum.

APPLIES TO

This procedure applies to all BWXT Y-12 employees, organizations, subcontractors and consultants working at or in support of the Y-12 National Security Complex.

**OTHER
DOCUMENTS
NEEDED**

- DOE SF-86, *Questionnaire for National Security Positions (QNSP)*, (Parts 1 & 2)
- DOE F 472.1, *Fair Credit Reporting Act Authorization*
- DOE Form 5631.18, *Security Acknowledgment*
- DOE Form 5631.29, *Security Termination Statement*
- DOE Form 5631.34, *Data Report on Spouse*
- Y11-412, *Employee Off-the-Job Conduct*
- Y19-131, *Safeguards and Security Awareness Program*
- Y19-143INS, *Foreign Ownership, Control or Influence and Contract Registration Instruction*
- AL F 5631.2C, *Clearance Request/Recertification/Suitability Form*
- UCN-20848, *Employee/Subcontractor Permission Form (QNSP)*
- Y19-414, *Determining Employment Status of Employees Whose Security Clearance is Suspended*

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WHAT TO DO**A. Security Clearance Processing Management Overview**

**Director,
Safeguards, Security
Counterintelligence,
and Policy
(SSCI&P)**

1. Assume overall management responsibility for ensuring a viable and effective security clearance processing function for all employees, subcontractors, and consultants is maintained.
2. Seek an appropriate level of funding and personnel resources to fully implement and maintain an effective security clearance processing function.
3. Assign functional area responsibility for the implementation and maintenance of the security clearance processing function to the Manager, Personnel Security.

**Manager,
Personnel
Security**

4. Assume functional area management responsibility for the implementation and maintenance of the security clearance processing function.
5. Appoint, in writing, an Y-12 Site Access Authorization Coordinator (AAC), to direct the day-to-day administration of the security clearance processing function.

Directors

6. Appoint an organization Questionnaire for National Security Positions (QNSP) Coordinator to serve as a liaison between the organization and the AAC and Wackenhut Services, Inc (WSI-OR) Clearance Office

NOTE: This action may be delegated to a designated individual.

**QNSP
Coordinators**

7. Review and approve security clearance requests and justifications (see Appendix B for guidance).
8. Perform quality checks on QNSP packages and resolve discrepancies.

**Manager,
Personnel
Security**

9. **WHEN** it is time for the annual review of security clearances, **THEN** send a notification to the directors to conduct their annual review.

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A. Security Clearance Processing Management Overview (cont.)

Directors

10. Maintain security clearances at the level required for organization employees to perform their job duties.
11. Provide certification letter to the Manager, Personnel Security, that the organization annual security clearance review has been conducted and that the organization has appropriate clearances.

**QNSP
Coordinators**

12. Serve as a point-of-contact (POC) to help facilitate clearance actions and activities in support of their respective organizations.

**Managers/
Supervisors**

13. Conduct an annual review of clearances to ensure the organization maintains clearances at the appropriate level to perform work.

**QNSP
Coordinators**

14. Assist organization director in providing the certification letter that the annual review has been conducted and that the organization is maintaining the appropriate clearance level for each employee.

**Employees,
Subcontractors,
and Consultants**

15. Complete required security clearance processing-related documentation.
16. Return security clearance documentation by the specified date.
17. Comply with required security briefings.
18. Comply with reporting requirements outlined in Sect. D, Step 1, of this procedure.

B. Requesting an Initial Security Clearance for Employees, Subcontractors, or Consultants

**Employees,
Subcontractors,
and Consultants**

1. Notify the WSI-OR Clearance Office of any change in status while clearance is being processed or after obtaining a clearance.

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B. Requesting an Initial Security Clearance for Employees, Subcontractors, or Consultants (cont.)

NOTE 1: For definitions see Appendix A, *Definitions*.

NOTE 2: Clearance requests are initiated by the subject's organization. All blanks on the AL F 5631.2C, *Clearance Request/Recertification/Suitability Form*, must be completed.

NOTE 3: Instructions for completing the AL F 5631.2C are located with the form.

NOTE 4: Individual consultants are not required to possess a Foreign Ownership, Control, or Influence (FOCI) determination or Facility Data and Approval Record (FDAR) to obtain a security clearance.

NOTE 5: DOE policy prohibits BWXT Y-12 from requesting subcontractor security clearances prior to receiving approval of the FOCI and FDAR.

NOTE 6: Access to classified matter or special nuclear materials (SNM) is not permitted until DOE access authorization has been granted, reinstated, extended, or transferred.

NOTE 7: Clearances will not be requested for foreign nationals.

NOTE 8: Clearances shall not be requested or continued to allow dissemination of classified matter on other than a need-for-access basis; to preclude the use of access controls, or physical barriers to distinguish area perimeters; determine employment suitability; alleviate escorting responsibilities; establish pools of cleared employees; or accommodate an individual's personal convenience.

NOTE 9: An individual's clearance status shall not be used as a determining factor for hiring, entering into a consultant agreement, or awarding subcontracts unless a justifiable reason exists.

Subject: Security Clearance Processing

B. Requesting an Initial Security Clearance for Employees, Subcontractors, or Consultants (cont.)

NOTE 10: Managers are responsible for reviewing, approving, and submitting AL F 5631.2C, *Clearance Request/Recertification/Suitability Form*.

NOTE 11: For new-hires and transfers the AL F 5631.2C is partially completed and submitted to Human Resources as part of the requisition package.

**QNSP
Coordinators**

2. Complete an AL F 5631.2C in all cases where organization employees, subcontractors, or consultants require security clearances.
3. Coordinate with the subject's supervisor/POC and/or organization manager to ensure a detailed security clearance justification is provided.

NOTE: DOE will not accept clearance justifications that do not adequately reflect the information identified in Step 4 below.

**Supervisors/POCs
or Organization
Managers**

4. Provide justifications for their employees, subcontractors, or consultants to be processed for security clearances.
5. Ensure security clearance justifications reflect the following criteria.
 - Duties of the position are clearly defined and require a security clearance.
 - Level and category of classified information the individual will be required to access supports the clearance level requested.
 - Reason(s) the individual requires a security clearance is/are valid.
 - Any other pertinent information to support the need for the security clearance is provided.

Subject: Security Clearance Processing

B. Requesting an Initial Security Clearance for Employees, Subcontractors, or Consultants (cont.)

**Supervisors/POCs
or Organization
Managers (cont.)**

6. Document the clearance justification on the top of page 2 of AL F 5631.2C.
7. Send the completed AL F 5631.2C to their respective director or designee for approval.

**Directors/
Designees**

8. Sign AL F 5631.2C as approval and verification of the need for the employee's clearance at the level being requested.
9. Send completed AL F 5631.2C to the WSI-OR Clearance Office.

NOTE : Completed AL F 5631.2C forms may be hand carried, mailed or faxed to the AAC.

AAC

10. Review AL F 5631.2C for completeness and adequacy of the justification provided.
11. **IF** the AL F 5631.2C is deemed insufficient, **THEN** return the form to the requesting QNSP Coordinator for revision.
12. Forward the request to the WSI-OR Clearance Office for processing.

Staffing

13. Respond to requests from the WSI-OR Clearance Office for pre-employment checks on employees originally hired prior to April 1989.
14. Complete information on the AL F 5631.2C as part of the requisition package for new hires and transfers.
15. Provide information to new hires as requested by the WSI-OR Clearance Office.

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B. Requesting an Initial Security Clearance for Employees, Subcontractors, or Consultants (cont.)

**QNSP
Coordinators**

16. Ensure individuals complete and return QNSP packets by the date specified.

NOTE 1: Individuals can significantly contribute to the timely processing of their clearance requests by following completion instructions provided with QNSP packets, returning packets by dates specified, and cooperating with authorized personnel during the investigative process.

NOTE 2: DOE requires that all parts of all QNSPs be typewritten.

**Employees,
Subcontractors, and
Consultants**

17. Provide information requested on the QNSP.
18. Read and sign required forms contained in the QNSP packet, including the UCN-20848, *Employee/Subcontractor Permission Form*).
19. Seal the QNSP Part 2 in the special envelope provided with the QNSP packet.
20. Return completed QNSP packets to the WSI-OR Clearance Office by the date specified in the QNSP packet.

**QNSP
Coordinators**

21. **WHEN** notified by the WSI-OR Clearance Office that grant notification has been received from DOE, **THEN** schedule the person to attend the required security briefings through asksam@wsi-or.net.
22. Notify the individual of the clearance grant and the date and time of the comprehensive security briefing.

**Employees,
Subcontractors, and
Consultants**

23. Attend the required comprehensive security briefing.
24. Report to the WSI-OR Y-12 Badge Office to receive the security badge.

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B. Requesting an Initial Security Clearance for Employees, Subcontractors, or Consultants (cont.)

**Manager,
Personnel
Security**

25. **WHEN** a notification is received from DOE which indicates a security clearance will not be granted, **THEN** inform the organization manager, Human Resources, and the WSI-OR Clearance Office of the DOE decision and provide relevant information and instructions as required.

Employees

26. **WHEN** notified that a security clearance will not be granted by DOE, **THEN** follow the instructions by the organization manager.

C. Processing Selective (Five-Year) Reinvestigations for Employees, Subcontractors, or Consultants

**QNSP
Coordinators**

1. **WHEN** the reinvestigation letter is received from the WSI-OR Clearance Office, **THEN** notify affected individual of the requirement to complete the QNSP packet.
2. **IF** the individual no longer needs a security clearance, **THEN GO TO** Sect. L of this procedure to proceed with termination of the security clearance.
3. **IF** the individual's job responsibilities no longer requires a Q-clearance but requires an L-clearance, **THEN GO TO** Sect. F of this procedure to proceed with the downgrade process.
4. **IF** there is a continuing need for the individual's clearance, **THEN** complete an AL F 5631.2C.
5. Coordinate with the individual's supervisor/POC and/or organization manager to ensure an adequate security clearance justification is provided.

**Supervisors/POCs
or Organization
Managers**

6. Provide justifications for individuals to be processed for continuing security clearances.

Subject: Security Clearance Processing

C. Processing Selective (Five-Year) Reinvestigations for Employees, Subcontractors, or Consultants (cont.)

NOTE : DOE will not accept clearance justifications that do not adequately reflect the information identified in Step 7.

**Supervisors/POCs
or Organization
Managers (cont.)**

7. Ensure justifications reflect the following criteria.
 - Duties of the position are clearly defined and require a security clearance.
 - Level and category of classified information the individual will be required to access supports the clearance level requested.
 - Reason(s) the individual requires a security clearance is (are) valid.
 - Any other pertinent information to support the continuing need for the security clearance at the current level is provided.
8. Document the clearance justification in the section on top of page 2 of AL F 5631.2C.
9. Send AL F 5631.2C to their director for approval.

Directors

10. Sign AL F 5631.2C as approval and verification of the need for continuing the individual's security clearance at the current level.

NOTE: All AL F 5631.2C forms are reviewed prior to submission to AL for processing and will be returned for correction if deemed insufficient.

11. **IF** the AL F 5631.2C is deemed insufficient, **THEN** return the form to the requesting QNSP Coordinator for revision.

Subject: Security Clearance Processing

C. Processing Selective (Five-Year) Reinvestigations for Employees, Subcontractors, or Consultants (cont.)

NOTE: Failure to return QNSP packets by the date specified subjects the individual's security clearance to termination by DOE.

**QNSP
Coordinators
and Supervisors/
POCs**

12. Ensure individuals complete and return QNSP packets by the date specified.

NOTE 1: **Individuals** can significantly contribute to the timely processing of the clearance requests by following the completion instructions provided with the QNSP packets, and returning the packets by the dates specified.

NOTE 2: DOE requires that all parts of QNSPs be typewritten.

**Employees,
Subcontractors, and
Consultants**

13. Provide information requested on the QNSP.
14. Read and sign required forms contained in the QNSP packet.
15. Return completed QNSP packets to QNSP Coordinator by the date specified.

**QNSP
Coordinators**

16. Screen QNSP packets for completeness and resolve discrepancies.
17. Submit QNSP packets to the WSI-OR Clearance Office for processing.
18. **IF** QNSP packets are returned by the WSI-OR Clearance Office, **THEN**
return the QNSP packet to individual to make corrections, additions, etc.

Individuals

19. Return the corrected QNSP packet to the WSI-OR Clearance Office.

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C. Processing Selective (Five-Year) Reinvestigations for Employees, Subcontractors, or Consultants (cont.)

**Supervisors/POCs
or Organization
Managers**

20. **IF** any of the following conditions exist:

- Individuals no longer need a security clearance (for any reason)

OR

- DOE decides to discontinue an individual's security clearance, **THEN**
GO TO Sect. L of this procedure to process the individual for termination of the security clearance.

D. Restriction of Security Clearances

**All Cleared
Individuals**

1. Report to their immediate supervisor/POC any of the following occurrences of time off from work for:

- the treatment of mental/emotional problems if either a hospitalization or long-term outpatient care is self-imposed or recommended by any medical professional, or
- the treatment of ,or the rehabilitation from, drug and/or alcohol abuse if self-imposed or recommended by any medical professional.

**Supervisors/POCs
of Cleared
Individuals**

2. **WHEN** a report is received as described in Sect. D, Step 1,

AND

WHEN the individual holds a security clearance, **THEN**
notify the AAC, and the Site Occupational Medical Director (SOMD) immediately.

AAC

3. Notify the WSI-OR Clearance Office immediately.

**Supervisors/POCs
or Organization
Managers**

4. **IF** the individual occupies a Personnel Security Assurance Program (PSAP)-designated position, **THEN**
notify the WSI-OR PSAP Administrator of the medical restriction immediately.

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D. Restriction of Security Clearances (cont.)

**Supervisors/POCs
Organization
Managers (cont.)**

5. Take the following actions promptly to restrict the individual's **or** access to classified matter:
 - advise the individual to report to the Badge Office to exchange his/her cleared badge for an uncleared badge,
 - remove classified documents from the individual's access,
 - change combinations to classified repositories, and
 - retrieve all locks/keys to any classified area or install new locks as appropriate.

**Supervisors/POCs
or Organization
Managers (cont.)**

6. Notify the Human Resources and the AAC when these actions are completed.
7. Schedule an appointment for the individual with the Company Psychologist, through the SOMD, as close to the individual's return to work date as possible.

NOTE: Step 8 may require several visits to complete. An individual may be permitted to return to work but in a different area/duty than the normal area/duty or to return to the normal area/duty.

**SOMD and/or
Company
Psychologist**

8. Meet with the individual to determine whether he/she is ready to return to work in their normal area/duty or in a different area/duty.
9. Keep the individual's supervisor, Human Resources, and the AAC informed of the individual's status.
10. **WHEN** in their medical opinion, the individual should be permitted to return to the normal area/duty with access to classified matter based on the soundness of the individual's judgement and reliability, **THEN**
advise the AAC.

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D. Restriction of Security Clearances (cont.)**AAC**

11. **WHEN** the SOMD and the Company Psychologist has determined that the individual is ready to return to work in security areas with access to classified matter, **THEN**
notify the WSI-OR Clearance Office.
12. **WHEN** DOE has reviewed the case

AND

WHEN the AAC has received a letter from DOE indicating no objection to the removal of the medical restriction, **THEN**
notify Human Resources and the WSI-OR Clearance Office of the removal of the medical restriction.

Individuals

13. **WHEN** notified, **THEN**
report to the Badge Office to be rebadged.

E. Suspension of Security Clearances**Manager, Personnel
Security**

1. **IF** notification is received from DOE, **THEN**
provide a copy of the notice to the WSI-OR Clearance Office and PSAP Administrator.
2. Notify the parent organization, Employee Relations, or Labor Relations of the action.

**Cleared
Individuals**

3. Receive a certified letter sent to the address advising of the DOE suspension with an explanation for the actions taken.
 - An investigation will be conducted by DOE to determine if the clearance should be revoked.
 - **IF** the individual's security clearance will be suspended, **THEN**
the individual will be badged as uncleared until the cause of the suspension is resolved and approval is obtained from DOE to reinstate the security clearance.

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E. Suspension of Security Clearances (cont.)**Cleared
Personnel (cont.)**

- **IF** the clearance is revoked, **THEN**
termination of employment in accordance with Y11-412,
Employee Off-the-Job Conduct, may occur.

3. Report to the Badge Office to be rebadged, as appropriate.

**Supervisors/POCs
or Organization
Managers**

4. Take the following actions promptly to restrict the individual's access to classified matter in accordance with Y11-414, *Determining Employment Status of Employee Whose Security Clearance Is Suspended*.

- Reassign the individual to work in an uncleared area for the duration of the suspension.
- Remove the individual's access to classified documents.
- Change combinations to classified repositories.
- Retrieve all locks/keys to any classified area or install new locks as appropriate.

5. Notify the Manager, Personnel Security, when these actions are completed.

**Manager, Personnel
Security**

6. Ensure that the Classified Matter Protection and Control (CMPC) Program Manager is notified that the actions in Step 4 are completed.

7. **WHEN** a notification is received from DOE that indicates the suspension is to end, **THEN**
notify the personnel listed in Sect. E.1.

8. Notify Human Resources in the event that the individual's security clearance is revoked.

NOTE: A copy of a briefing attendance record will be provided to the individual at the conclusion of the comprehensive security briefing. This document, along with the DOE reinstatement letter, will be used for rebadging purposes.

Subject: Security Clearance Processing

E. Suspension of Security Clearances (cont.)

Individuals

9. **IF** the suspension is resolved by a reinstatement, **THEN**
attend the required comprehensive security briefing.
10. Report to the Badge Office to be rebadged at the previously
authorized clearance level.

All

11. **IF** the suspension ends with a revocation of the security clearance,
THEN
GO TO Sect. L of this procedure to process the individual
for termination of the security clearance.

**F. Downgrading Security Clearances for Employees, Subcontractors,
and Consultants**

NOTE: See definition of “downgrade” in Appendix A.

Directors

1. Evaluate the need to downgrade selected security clearances during
the annual review of organization security clearances to assess
changes in individuals’ job duties and changes within security areas.

**Supervisors/ POCs
or Organization
Managers**

2. **IF** a cleared individual’s job duties change such that
the new duties do not require the current clearance level,
THEN
complete an AL F 5631.2C.
3. Complete the form in its entirety, ensuring the “downgrade” block in
Sect. 14 of the AL F 5631.2C is marked denoting the action
requested.
4. Send the completed AL F 5631.2C to the WSI-OR Clearance
Office.

**QNSP
Coordinators/
POCs**

5. **WHEN** notified by the WSI-OR Clearance Office, **THEN**
notify the affected individual of the date the individual is
to report to the Badge Office to be rebadged.

**Employees,
Subcontractors, and
Consultants**

6. Report to the Badge Office to be rebadged on the date
specified.
7. **IF** downgrading from a clearance to unclassified, **THEN**
attend a security termination debriefing.

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G. Upgrading Security Clearances for Employees, Subcontractors, and Consultants

NOTE 1: See definition of “upgrade” in Appendix A.

NOTE 2: Typically, upgrades occur due to a change in an individual's job duties (i.e., previous duties only required an “L” clearance, where new or changing job duties now require a “Q” clearance).

All

1. **IF** an individual’s job duties change such that the new duties require a clearance level that the individual has never held, **OR** the reinvestigation exceeds 5 years, **THEN**
GO TO Sect. B in this procedure to process the individual for the required security clearance.

H. Extension of Security Clearances

NOTE: See definition of “extension” in Appendix A.

**QNSP
Coordinators**

1. **IF** there is a need for an individual to hold concurrent security clearances under the cognizance of two or more DOE offices, **OR** under two or more employers, **OR** under two or more contracts, **THEN**
initiate an extension request by completing AL F 5631.2C.
2. **GO TO** Sect. C, Steps 1 through 14, of this procedure to process the extension request.

I. Transfer of Security Clearances

NOTE 1: See definition of “transfer” in Appendix A.

**QNSP
Coordinators**

1. **IF** an applicant/new hire holds a security clearance granted by DOE, **THEN**
initiate a transfer request by completing AL F 5631.2C.

Subject: Security Clearance Processing
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I. Transfer of Security Clearances (cont.)

NOTE 2: The AL F 5631.2C may be partially completed by Staffing as part of the requisition package.

**QNSP
Coordinators (cont.)**

2. **GO TO** Sect. C, Steps 1 through 14, to process the transfer request.

J. Reinstating Security Clearances

NOTE: See definition of “reinstatement” in Appendix A.

All

1. **IF** an individual’s job duties change such that the new duties require a clearance level that the individual had previously held, **THEN GO TO** Sect. B in this procedure to process the individual for a reinstatement of the required security clearance.

K. Accelerated Access Authorization Program (AAAP) for Employees and Subcontractors

NOTE 1: DOE developed the AAAP because of the compelling need to expedite processing of selected access authorization (security clearance) requests. The AAAP will allow applicants to perform their duties while a full background investigation is being conducted.

NOTE 2: AAAP applicants will undergo three testing elements and two clearance adjudication elements to determine eligibility for an interim access authorization.

NOTE 3: It is possible that some of the actions listed here may have already been taken if an individual was in process for an access authorization and it was later determined to pursue the AAAP. If so, those actions previously taken do not have to be repeated unless specifically instructed to do so by DOE or the AAC.

Directors

1. Determine the necessity to process individuals under the AAAP based on the following criteria:
 - a. The duties of the potential applicant have been deemed **critical** to the continuity of operations and can be fully justified.

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K. Accelerated Access Authorization Program (AAAP) for Employees and Subcontractors (cont.)

Directors (cont.)

b. The potential applicant has never held a DOE “Q” access authorization (one that could be reinstated in a relatively short time) and the standard time frame to process the individual for an access authorization would have a negative impact on operations.

c. The potential applicant’s director agrees to bear all cost associated with the AAAP process.

2. **IF** the decision is made to proceed with the AAAP process, **THEN**
submit a letter to the AAC requesting an AAAP applicant information packet.

**Supervisors/POCSs
or Organization
Managers**

3. **WHEN** the AAAP information packet is received, **THEN**
brief the potential applicant on the AAAP process using the AAAP applicant information packet as a guide.

4. Ensure the AAAP applicant executes all required documents contained in the AAAP applicant information packet.

**AAAP
Applicant**

5. Complete required documentation as directed.
6. **GO TO** Sect. B, Steps 16 through 19, to prepare the QNSP, **THEN**
RETURN to this process.

**Supervisors/POCs
or Organization
Managers**

7. **WHEN** required AAAP and QNSP documentation is completed, **THEN**
submit all documentation to the WSI-OR Clearance Office.

AAC

8. **WHEN** a notification is received from the WSI-OR Clearance Office that an AAAP applicant has been approved for further processing, **THEN**
notify the responsible supervisor/POC or organization manager.

NOTE: DOE Albuquerque (AL) will contact the applicant directly to schedule the testing.

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and Subcontractors (cont.)

**Supervisors/POCs
or Organization
Managers**

9. Assist the AAAP applicant with travel arrangements to AL for testing.

**AAAP
Applicant**

10. Travel to Albuquerque, New Mexico, to participate in the AAAP process.

**L. Security Clearance Terminations for Employees, Subcontractors,
and Consultants**

**Cleared
Employees/
Subcontractors/
Consultants**

1. Notify the Supervisor/POC when any of the instances outlined in Sect. L, Step 2, occur.

NOTE: Clearances will be administratively terminated for personnel on extended sick leave after 90-days unless Benefit Plans has established a firm report-to-work date and a waiver has been approved by DOE-AL.

**Supervisors/
POCs of Cleared
Subcontractors/
Consultants**

2. Notify Human Resources of the following instances:
 - the last day of employment of a cleared employee with BWXT Y-12;
 - when cleared employee is (or will be) on a leave of absence or extended sick leave for at least 90 days;
 - when cleared employee leaves for foreign travel, employment, education, or residence for more than three months not involving official U.S. Government business; and
 - when subcontract expires or is terminated.

Human Resources

3. Notify the AAC and the WSI-OR Clearance Office of planned or unplanned cleared terminations as soon as practice.
4. Request termination debriefings from the WSI-OR Security Education Section.

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L. Security Clearance Terminations for Employees, Subcontractors, and Consultants (cont.)

Employees, Subcontractors, and Consultants

5. Attend required termination debriefings as scheduled by the WSI-OR Security Education Section.
6. Complete a DOE F 5631.29, and provide the security badge to the WSI-OR Badge Office at the conclusion of the termination debriefing

Human Resources

7. **IF** a termination occurs in absentia (e.g., extended sick leave, or leave of absence for at least 90 days), **THEN**
mail the DOE F 5631.29 to the employee within three working days after the start of the extended leave.

Human Resources (cont.)

8. **IF** the DOE F 5631.29 is not returned within seven working days of the mail-out date, **THEN**
prepare a letter stating the reasons why a signed statement could not be obtained and send to the AAC and the WSI-OR Clearance Office.

AAC

9. **WHEN** absentia memo is received from the WSI-OR Clearance Office, **THEN**
sign absentia memo and return to the WSI-OR Clearance Office for submittal to DOE.

M. Reporting Requirements for Individuals Holding and Applying for Security Clearances

NOTE 1: Reporting requirements are also applicable to individuals who are undergoing the access authorization application process. Also see reporting requirements in Sect. D.

Individuals

1. **WHEN** requested to furnish, or authorize others to furnish, information requested for the access authorization eligibility process, **THEN**
provide full, frank and truthful answers to information that DOE requests at any stage of access authorization processing.

NOTE 2: Verbal notification of instances is required within two working days to be followed by written notification within the next three working days.

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L. Reporting Requirements for Individuals Holding and Applying for Security Clearances (cont.)

Individuals (cont.)

2. Notify DOE and the Manager, Personnel Security, or the AAC, of any instance of the following:
 - all arrests, criminal charges (including charges that are dismissed), or detentions by Federal, State, or other law enforcement authorities for violations of the law, other than traffic violations for which only a fine of \$250 or less was imposed, within or outside of the United States;
 - personal or business-related filing for bankruptcy;
 - garnishment of wages;
 - legal action effected for name change (e.g., divorce or court order);
 - employment by, representation of, or other business-related association with a foreign or foreign-owned interest, or foreign national; or
 - any approach or contact by an individual seeking unauthorized access to classified matter or SNM.
3. Provide a completed DOE F 5631.34, *Data Report on Spouse*, to DOE and the Manager, Personnel Security, or the AAC, within 45 calendar days of marriage to, or cohabitation with, an individual who does not currently hold access authorization.

**Manager,
Personnel
Security/
AAC**

4. Submit a copy of the DOE F 5631.34, *Data Report on Spouse*, to the WSI-OR Clearance Office.

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N. Records

NOTE 1: Access authorization records are generated and maintained according to BWXT Y-12 established records management practices and approved records inventory and disposition schedules.

NOTE 2: Official personnel security files are maintained by DOE.

NOTE 3: The WSI-OR Clearance Office maintains copies of appropriate personnel security files and is responsible for the protection of access authorization information and records.

NOTE 4: It is advisable for cleared individuals to maintain a copy of their QNSP Part 1 and 2. The QNSP is the most extensive document to regenerate, if needed, and will prove most useful to cleared individuals during their 5-year security clearance reinvestigation.

All Cleared Individuals

1. Maintain an individual copy of the QNSP Parts 1 and 2 for future reference.

SOURCE DOCUMENTS

- DOE O 472.1B, *Personnel Security Activities*
- DOE M 472.1-1B, *Personnel Security Program Manual*
- DOE M 5632.1C-1, *Manual for Protection and Control of Safeguards and Security Interests*

APPENDICES

- A. Acronyms and Definitions
- B. Types of Classified Matter and Classification Levels

Subject: Security Clearance Processing

APPENDIX A
Acronyms and Definitions
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Acronyms:

AAAP	Accelerated Access Authorization Program
AAC	Access Authorization Coordinator
CMPC	Classified Matter Protection and Control
DOE	Department of Energy
FDAR	Facility Data and Approval Record
FOCI	Foreign Ownership, Control, or Influence
IAA	Interim Access Authorization
SOMD	Site Occupational Medical Director
POC	Point of Contact
PSAP	Personnel Security Assurance Program
QNSP	Questionnaire for National Security Positions
SSCI&P	Safeguards, Security, Counterintelligence, and Policy
SNM	Special Nuclear Material
WSI-OR	Wackenhut Services Incorporated - Oak Ridge

Definitions:

Access refers to the following:

1. The knowledge, use or possession of classified information required by an individual to perform his/her official duties and which is provided to the individual on a need-to-know basis.
2. Situations that may provide an individual proximity to or control over special nuclear material in quantities defined in the DOE 5632 Order series.
3. The ability and opportunity to obtain knowledge of classified information. An individual, in fact, may have access to classified information by merely being in a place where such information is kept, if the security measures which are in force do not prevent gaining knowledge of the classified information.

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APPENDIX A

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Accelerated Access Authorization Program – A supplement to the Interim Access Authorization (IAA) procedure currently used by DOE in accordance with DOE Order 5631.2C, and sanctioned under Sect. 145(b) of the Atomic Energy Act of 1954, as amended (42 USC 2165). After DOE-AL approval, AAAP applicants undergo three testing elements and two clearance adjudication elements at the DOE Albuquerque Operations Office to determine eligibility for an interim access authorization. If granted, the interim access authorization allows AAAP applicants to perform their duties while a full background investigation is being conducted.

Access Authorizations (Security Clearances) – An administrative determination that an individual is eligible for access to classified information or special nuclear material on a “need-to-know” basis. Security clearances are granted and terminated only by DOE.

Consultant – For purposes of this procedure, is a single individual, personally contracted by BWXT Y-12 to do work that requires a DOE access authorization (security clearance). This individual is contracted and works independently (not for or through a formally recognized subcontractor company, see definition below).

Downgrade (of clearance) – A change in the level of clearance from a “Q” to an “L” or from either a “Q” or “L” to unclassified when the requirements for access to security areas and classified information change for an individual and the higher clearance level is no longer necessary to perform a job.

Employee – An individual who is on the company payroll.

Extension (of clearance) – The process that allows an individual to hold concurrent access authorizations: under the cognizance of two or more DOE offices; under two or more employers; or for one employer under two or more contracts.

Facility Data and Approval Record (FDAR) – For purposes of this procedure, is a documented determination by DOE that a BWXT Y-12 subcontractor has been approved to possess DOE security interests (e.g., security clearances, classified information or special nuclear material).

Foreign Ownership, Control, or Influence (FOCI) – A determination by DOE that a contractor or subcontractor is not subject to a level of control or influence by a foreign entity to cause the unauthorized release of classified information or special nuclear material.

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New Hire – For purposes of this procedure, is an individual who has been identified to fill a position within BWXT Y-12 that may require a security clearance.

Reinstatement (of clearance) – A change in the level of an individual's clearance back to a level of clearance PREVIOUSLY held by the individual.

Restriction (of clearance/access) – A determination made locally or by DOE that a person should not have access to classified areas or information until information can be obtained whereby a determine can be made if the clearance should be suspended or whether the individual should be allowed to return to regular job duties. Restrictions normally occur because of hospitalization or time-off from work due to mental, emotional, drug or alcohol treatment/rehabilitation. However, access may be restricted for a variety of other reasons through management or employee relations due to observed unusual behavior that may indicate further inquiry is necessary. The individual's level of clearance is not changed by DOE at this point; however, the individual will be administratively badged as an uncleared individual until the issue is resolved.

Revocation (of clearance) – A DOE determination to permanently terminate an access authorization.

Subcontractor Company (subcontractor) – For purposes of this procedure, a formally recognized business entity with more than one individual contracted to do work for BWXT Y-12. Multiple individuals are engaged in work for BWXT Y-12 through the same contractual vehicle. Subcontractor companies may engage consultants and/or associates who are not considered employees of the subcontractor company. If consultants or associates are engaged by a subcontractor company, for purposes of this procedure, the consultants and associates are considered part of the subcontractor company.

Suspension (of clearance) – A determination by DOE that there is significant information concerning defects in an individual's reliability or judgment such that until further investigation has been completed, the individual will not be allowed access to classified information or security areas. The clearance level is changed to uncleared by DOE until a determination is made to either reinstate or revoke the clearance.

Termination – The discontinuance of an authorization for an individual to have access to classified information or special nuclear material. This process is normally conducted on an individual's last official workday that requires a clearance. Termination refers to an individual's security clearance and not necessarily to the individual. It should be noted that BWXT Y-12 only processes individuals for termination of security clearances and it is actually DOE that terminates security clearances.

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Termination Briefing – A DOE-required security briefing that is conducted when a cleared individual no longer requires a security clearance. This briefing is intended to serve as a reminder of the individual's commitment not to disclose classified information and continuing reporting requirements that remain in effect even after termination. In addition, the DOE F 5631.29, *Security Termination Statement*, is executed by the individual and security badges are surrendered to appropriate authorities.

Termination Date – The last official workday that an individual requires or is eligible for a security clearance.

Termination In Absentia – The discontinuance of a security clearance for an individual who has terminated from a DOE site, because of disability or other compelling reason, before the formal termination process could be effected. In this instance, the individual no longer has access to classified information or special nuclear material. Termination proceedings, in these cases, are effected by mail.

Transfer (of clearance) – The process that allows an individual's access authorization to be simultaneously terminated under one contract and granted under another contract. A transfer can be effected only for like access authorizations (i.e., "Q" to "Q," or "L" to "L").

Upgrade (of clearance) – A change in the level of an individual's clearance from an "L" to a "Q" when the individual has NOT PREVIOUSLY held a "Q" clearance.

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APPENDIX B
Types of Classified Matter and Classification Levels
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TYPES OF CLASSIFIED MATTER AND CLASSIFICATION LEVELS			
Types of DOE Access Authorization	Restricted Data	Formerly Restricted Data	National Security Information
Q* allows access to these levels of classified matter	Top Secret Secret Confidential	Top Secret Secret Confidential	Top Secret Secret Confidential
L** allows access to these levels of classified matter	Confidential	Secret Confidential	Secret Confidential
* For an initial DOE Q access authorization, an Office of Personnel Management (OPM) Single-Scope Background Investigation or Federal Bureau of Investigation (FBI) Background Investigation (for “Positions of a High Degree of Importance or Sensitivity”) is required. Completed investigations by other agencies can be obtained and used by DOE for determining an individual’s Q access authorization eligibility if the scope and extent of the investigation meets DOE specifications.			
** For an initial DOE L access authorization, an OPM Limited Background Investigation is required for DOE employees and applicants for employment; and at least an OPM National Agency Check with Credit is required for all other individuals. A more extensive investigation can be used as a basis for determining an individual’s L access authorization eligibility.			